

**Department of Financial Institutions**  
**DIVISION OF SECURITIES**  
**1025 Capital Center Drive, Suite 200**  
**Frankfort, KY 40601**

**APPLICATION FOR RENEWAL OF INVESTMENT ADVISER**  
**AND REPRESENTATIVE REGISTRATION**

The Investment Adviser indicated below requests renewal of its registration and registration of its representatives with the Kentucky Department of Financial Institutions (DFI). The Investment Adviser represents that no material changes have occurred in the information contained in its application currently on file with DFI.

1. Name of Investment Adviser: \_\_\_\_\_

\_\_\_\_\_

2. Business address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Pursuant to KRS 292.330, the undersigned requests renewal of the investment adviser registration on behalf of the above-named Investment Adviser and renewal of the registration of the listed investment adviser representatives.

**By:** \_\_\_\_\_  
**Name, Title**

**Name (printed):** \_\_\_\_\_

Representatives to be renewed:

NAME	SS#
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